

# Carl Long

## Notice of Intent to Invoke Administrative Sanctions

Date: April 10, 2003 Respondent: Carl Long Order: Notice of Intent to Invoke Administrative Sanctions filed April 10, 2003. Hearing originally set for November 3, 2003, but will be rescheduled.

## Consent Order

Date: January 6, 2004 Respondent: Carl Long Order: Respondent agreed to Consent Order issued January 6, 2004, which orders him to be barred for five years from association with any broker-dealer or investment adviser registered in the State of Kansas, and to disgorge profits of \$10,000 to Karen Lash.

## Notice of Intent to Invoke Administrative Sanctions

Date: July 9, 2004 Respondent: Carl Long Order: A Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act was issued to respondent Long, who allegedly failed to disgorge profits in the amount of \$10,000 in accordance with a Consent Order issued by the Commissioner on January 6, 2004.

## Order of Sanctions

DATE: February 14, 2005

RESPONDENT: Carl E. Long

ORDER: An Order of Sanctions was issued against respondent after he failed to file a request for hearing following a Notice of Intent to Invoke Administrative Sanctions issued on July 9, 2004. Respondent was permanently barred from association with any broker-dealer or investment adviser registered in the State of Kansas.

**Notice to Investors:** If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.